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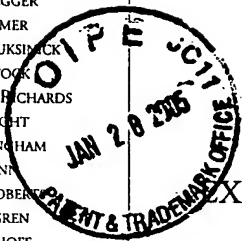
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EXPRESS MAIL LABEL NO: EV 485807944 US

PATENT APPLICATION  
Docket No: 15436.438.1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
Hoki Kwon )  
Serial No.: 10/078,473 ) Art Unit  
Confirmation No.: 4854 ) 2811  
Filed: February 21, 2002 )  
For: CARBON DOPED GAASSB )  
SUITABLE FOR USE IN TUNNEL )  
JUNCTIONS OF LONG- )  
WAVELENGTH VCSELS )

### TRANSMITTAL FOR SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- ☒ Form PTO-1449 list of 17 references submitted for consideration.
- ☒ Legible copies of the listed references or their relevant portions.
- ☐ All English translations of each non-English reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

- ☐ Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.
- ☐ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- ☐ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.
- ☐ Legible Copies of previously filed Information Disclosure Statement for application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- ☐ Promptness Certification.
- ☒ Credit Card Payment Form in the amount of \$180.00 constituting submission fee under 37 C.F.R. 1.17(p);
- ☐ Petition for Consideration and Check No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_.
- ☒ In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 20<sup>th</sup> day of January 2005.

Respectfully submitted,



ERIC L. MASCHOFF  
Attorney for Applicant  
Registration No. 36,596  
Customer No. 022913

EXPRESS MAIL  
JAN 28 2005  
PATENT & TRADEMARK OFFICE

Docket No: 15436.438.1

In re application of

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. § 1.97**

**Mail Stop AMENDMENT**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed.

Submission Fee  
Under 37 C.F.R. § 1.97(c)

In accordance with 37 C.F.R. § 1.97(c), a PTO 2038 Credit Card Payment Form in the amount of \$180.00 to cover the submission fee is enclosed to secure consideration of the references submitted with this Information Disclosure Statement. Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

DATED 10 January, 2005.

Respectfully submitted,



ERIC L. MASCHOFF  
Attorney for Applicant  
Registration No. 36,596  
Customer No. 022913

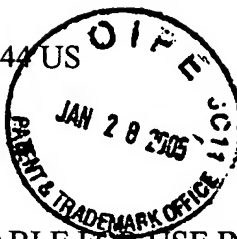
EXPRESS MAIL LABEL NO: EV 485807944 US

Form PTO-1449

Applicant: Hoki Kwon

Serial No.: 10/078,473

Filing Date: Feb. 21, 2002

For: CARBON DOPED GAASSB SUITABLE FOR USE IN TUNNEL JUNCTIONS OF  
LONGWAVELENGTH VCSELS

Sheet 1 of 2

Att'y Docket No.: 15436.438.1

Group: 2811

SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
____ 1	5,805,624	Sep. 8, 1998	Yang et al.
____ 2	5,825,796	Oct. 20, 1998	Jewell et al.
____ 3	5,825,796	Oct. 20, 1998	Jewell et al.
____ 4	5,903,586	May 11, 1999	Ramdani et al.
____ 5	8,912,913	Jun. 15, 1999	Kondow et al.
____ 6	5,943,359	Aug. 24, 1999	Ramdani et al.
____ 7	5,956, 363	Sep. 21, 1999	Lebby et al.
____ 8	5,960,018	Sep. 28, 1999	Jack L. Jewell
____ 9	5,960,018	Sep. 28, 1999	Jewell et al.
____ 10	5,978,398	Nov. 2, 1999	Ramdani et al.
____ 11	6,049,556	April 11, 2000	Sato

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country or Patent Office</u>
____ 12	01/33677 A2	May 10, 2001	PCT

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Hoki Kwon

Serial No.: 10/078,473

Att'y Docket No.: 15436.438.1

Filing Date: Feb. 21, 2002

Group: 2811

For: CARBON DOPED GAASSB SUITABLE FOR USE IN TUNNEL JUNCTIONS OF  
LONGWAVELENGTH VCSELS

_____ 13	01/33677 A3	May 10, 2001	PCT
_____ 14	0882630 A1	Feb. 4, 1998	European
_____ 15	0874428 A2	Oct. 28, 1998	European
_____ 16	0874428 A3	Nov. 4, 1998	European
_____ 17	0765014 B1	Jul. 28, 1999	European

**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner: \_\_\_\_\_

Date Considered: \_\_\_\_\_

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

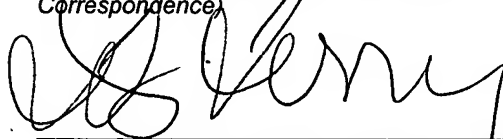
Applicant(s): Hoki Kwon

Docket No.  
15436.438.1Serial No.  
10/078,473Filing Date  
February 21, 2002Confirmation No.  
4854Examiner  
Dung T. NguyenGroup Art Unit  
2811

Invention: CARBON DOPED GAASSB SUITABLE FOR USE IN TUNNEL JUNCTIONS OF LONG-WAVELENGTH VCSELS

I hereby certify that the Transmittal letter (2 pages) (in triplicate); Information Disclosure Statement (2 pgs); Form PTO-1449 Listing all Cited References (2 pgs); Legible Copies of 17 Cited References; Credit Card Payment Form in the amount of \$180.00; and postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 1-28-05.

Tobi Terry

(Typed or Printed Name of Person Mailing  
Correspondence)

(Signature of Person Mailing Correspondence)

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